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## RESIDENT MATCH PROCESS

GLOSSARY.....	2
THE RESIDENT MATCHING PROCESS .....	3
RECORD MODIFICATION CONSIDERATIONS.....	7

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## GLOSSARY

The following important terms are used in this document:

<b><u>Term</u></b>	<b><u>Meaning</u></b>
<b>Submitted Record:</b>	Information that is submitted to the QIES ASAP system, whether it is a new, inactivated, or modified (corrected) assessment, entry/death tracking record, or HIS abstraction record, it is referred to generically in this document as a submitted record.
<b>Facility Internal ID</b>	An internal identifier assigned to a provider by the QIES ASAP system. Depending on the system, this may be the provider's Facility Internal ID or the Provider Internal ID. Facility Internal ID is based upon the provider's FAC_ID (for HHA, HHA_AGENCY_ID).
<b>Resident</b>	A resident of a long-term care facility or a patient of an LTCH, IRF, hospice, or a home health agency is referred to generically in this document as a resident.
<b>Resident Record</b>	Information that uniquely identifies a resident. A resident record is created initially from the resident-identifying information included in the first record submitted for that resident. Ideally, only one resident record exists for each resident. Subsequent submitted records for the resident are then associated with that resident record by means of the Resident Match process. Each resident should have one resident record to which one or more submitted records are associated. Resident records comprise the Resident table in the National database. Resident records are used to organize submitted records.
<b>Resident Match</b>	The process by which the resident-identifying information contained in a submitted record is compared to existing resident records in the Resident table so that, if appropriate, the submitted record may be associated with an existing resident record rather than creating a new resident record.

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## THE RESIDENT MATCHING PROCESS

When a submitted record is accepted into the National database, the system compares the resident-identifying information contained in the submitted record to corresponding information in the existing resident records in the Resident table. Based upon specific criteria listed below, this process determines if the resident is a new resident or one for whom a resident record already exists. If the resident-identifying information in the submitted record is sufficiently similar to the resident information in an existing resident record, a match occurs and the submitted record is associated with the existing resident record. If the resident-identifying information in the submitted record is not sufficiently similar to an existing resident record, a new resident record is created in the Resident table and the submitted record is associated with that new resident record.

The following fields, in various combinations, are the criteria used to determine if the resident identified in the submitted record matches an existing resident record in the Resident table:

- State ID
- Facility Internal ID
- Social Security Number (SSN)
- Last Name
- First Name
- Date of Birth
- Gender

**NOTE:** Only fields with a non-blank value are used as criteria in the Resident Match process.

**NOTE:** Each resident record in the Resident table is associated with a state. Only those resident records associated with the state identified in the submitted record are considered in the Resident Match process.

The criteria used for the Resident Match process are grouped into sets. Using these criteria sets, the Resident Match process compares the resident information in each submitted record to the existing information in the resident records in the Resident table in the order shown in the table below. When a match occurs, the Criteria Set ID of the criteria set that determined the match is stored in the resident\_match\_criteria column of the accepted submitted record for future reference.

### Resident Match Criteria Set

Comparison Order	Criteria Set ID	State ID	Facility Internal ID	SSN	Last Name	First Name	Birth Date	Gender
1	1	Y	Y	Y	Y	Y	Y	Y
2	9	Y	n	Y	Y	Y	Y	Y
3	11	Y	Y	Y	Y	n	n	Y
4	3	Y	n	n	Y	Y	Y	Y
5	4	Y	n	Y	n	n	Y	Y
6	5	Y	n	Y	Y	Y	n	Y
7	6	Y	Y	n	Y	Y	C	Y
8	10	Y	n	Y	Y	Y	Y	n

Notes: Y = an exact match is required  
 n = field is not used as match criteria  
 C = a match of the month and year is required  
 Last Name and First Name are converted to upper case letters prior to comparison

**NOTE:** The middle name is not used in the Resident Match process. When two residents with *unknown* SSNs have the same:

- First Name,
- Last Name, and
- Date of Birth (MM/DD/YYYY or MM/YYYY),

(such as twins with the same first name, but different middle names), enter at least one of the resident's middle name into the *First Name* field (along with the first name) to make the first names unique. This ensures that unique records for both residents exist in the Resident table. If identical names are entered in the First Name field for both residents and SSN are not entered, the system considers them the same resident and associates all of the submitted records for *both* residents with that *one* resident record. This may cause some submitted records to receive warnings or be rejected.

Using the resident match criteria sets defined above, the following flowchart depicts the Resident Matching process:

## Determining if New/Changed Resident Identifiers Update an Existing Resident Record or Create a New Resident Record



When a match occurs, if the resident information in the accepted submitted record is more recent and differs from the resident information in the resident record in the Resident table, the resident record is updated with the newly submitted information. The following fields may be updated in this manner:

- Current Facility Internal ID
- Social Security Number
- Last Name
- First Name
- Middle Initial
- Date of Birth
- Gender
- Ethnicity
- Death Date
- Medicare Number
- Medicaid Number

Examples of when a resident record is updated (after a match occurs) with more recent resident-identifying information from an accepted submitted record include, **but are not limited to**:

- Different/corrected spelling of *last name* – if SSN, birth date, and gender match
- Different/corrected spelling of *first name* – if SSN, last name, and gender match
- Different/corrected/previously missing *birth date* – if SSN, last name, first name, and gender match
- Different/corrected/previously missing *SSN* – if last name, first name, birth date, and gender match
- Different Facility Internal ID – if last name, first name, birth date, and gender match

(The resident table is based upon the state, not the provider. When a resident receives care from more than one provider within the same state, the resident record is automatically updated with the most recent Fac ID)

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## RECORD MODIFICATION CONSIDERATIONS

If more than one of the resident-identifying criteria fields differ in a submitted modification record and its corresponding resident record, the action taken may vary depending on the system to which the record was submitted.

For OASIS, LTCH, IRF, and Hospice, the original record may not be found and the modification may be rejected with a “record not found” fatal error message. Due to this possibility, OASIS, LTCH, and Hospice policy instructs the provider to submit an inactivation record when the first name, last name, SSN, gender and/or birth date is to be corrected. A new record with the correct information is then submitted.

For MDS if a new resident record is determined to be needed, it will be added to the resident table and the replacement record associated with the new resident. Depending upon the situation, this may or may not be the desired outcome.

For MDS and IRF:

When you must modify multiple resident-identifying fields in a previously accepted record, refer to the flowchart above. It will assist you in determining if you can submit all of the necessary resident identifier changes in *one* modification. Compare the values of the resident-identifying fields (First Name, Last Name, SSN, Birth Date and Gender) in the modification record to those in the previously accepted record it is correcting. You may need to complete and submit *multiple* modifications to a record to ensure that a new resident record is *not* created. If the flow chart states that “A NEW resident is created”, the changes require multiple modifications to the record – if you do not wish to create a new resident record. For each modification, check the flowchart to determine the outcome of the change you are planning to make.

Based upon the flowchart above and assuming that you are *not* changing the State or Facility Internal ID, the following rules govern whether or not a new resident record is created when you submit a record modification with differing resident identifiers.

- You may update **one** of the following fields or combinations of fields without creating a new resident record **if all other resident-identifying fields** are present and matching:
  - SSN (requires a match of the birth month and year minimally; day of month is optional)
  - First Name and Last Name
  - First Name and Birth Date
  - Gender
- If **Gender** is not available, you may *not* update *any* other resident-identifying field without creating a new resident record.

- If **SSN** is not available, you may only update the Birth Date *Day* without creating a new resident record only if all other resident-identifying fields, including *birth month* and *birth year*, are present and matching.
- If **Birth Date** (month, day and year) is not available, you may only update the First Name without creating a new resident record only if all other resident-identifying fields are present and matching.
- If **Birth Date** - day of month only - is not available (birth month and year must be present and matching), you may only update the SSN without creating a new resident record only if all other resident-identifying fields are present and matching.
- If **First Name** is not available, you may only update either the Birth Date or Last Name without creating a new resident record only if all other resident-identifying fields are present and matching. If you update both the Birth Date and Last name, a new resident will be created.